

SECRET

CIA RECORDS MANAGEMENT BOARD

16 March 1971

MEMORANDUM FOR: Members of Records Management Board

SUBJECT : Relationship of Records Program and
Information Processing

1. Attached is the 8 March 1971, memo from the Chairman, Information Processing Board. He asks our Board to consider several ADP and Records related problems and advise him of our findings. We will discuss this at our next regular meeting on Tuesday, 23 March at 10 a.m. in Room 4E-31 Hqs. The following is my position on this question and can be used as a starting point for that initial discussion.

2. To determine where Records Management and Information Processing impact on each other, I would start by establishing the scope of Records Management as prescribed by the Federal Government and this Agency:

(a) The Federal Records Program started in:

The Records Disposal Act of 1943 (Attached)
The Federal Records Act of 1950 (Attached)

(b) Those legal requirements are interpreted for action in:

The Federal Property Management Regulations
(Index Attached -- Details available)

(c) The Agency Records Program is set forth in:

Headquarters Regulation [REDACTED] (Attached)

25X1A

3. The Agency Program is consistent with the Federal requirements and encompasses the complete life-cycle of all information processing and documentation. The Agency Regulation specifies seven major fields for the Records Management Program:

SECRET

SECRET

- (a) Forms analysis, design, and control
- (b) Correspondence improvement and standards
- (c) Reports analysis and control
- (d) Records keeping systems, files, equipment, and supplies
- (e) Records Scheduling for disposal or preservation
- (f) Vital Records identification and protection
- (g) Facilities for temporary storage, retrieval, and disposition of semi-active office files and long-term preservation and service for permanent, Agency records of continuing value.

In addition, the Federal Records Program, in the attached FPMR's, also requires the Agency to provide for the management of microfilming, directives, mail, and ADP Records.

4. Agency Regulation [REDACTED] defines a record this way:

25X1A

"Records material is defined as: All books, papers, maps, photographs, films, recordings and other documents and material regardless of physical form or characteristics, created or received by any part of the CIA pursuant to Federal law or in connection with the transaction of public business . . ."

5. There is no area of data collection and information processing that is outside the Records Program regardless of the equipment or system employed. For example:

- (a) The ADP input and output media are forms or reports or correspondence.
- (b) The file, the system, and the equipment and supplies are all related to Agency transactions and information received or created regardless of physical form.
- (c) The Agency paper files are systematically identified and scheduled for periods of office activity and semi-active storage. The scheduling of these periods of file life and eventual disposal or preservation is coordinated to ensure the needs of operating officials and the established legal requirements. The erasure of tapes

SECRET

SECRET

like the destruction of papers or microfilm should not depend upon only the operating need of the immediate office, an analyst's opinion, or available file space. The requirements of the Agency Systems, the Office, and the law must be considered. The Records Program has scheduled the Agency's 300,000 cu. ft. of paper files and has legally destroyed more than 100,000 feet from its storage center. The scheduling and systematic storage and retrieval or disposal of the Agency's 28,000 tapes (4,000 cu. ft. at 7 tapes per cu. ft.) is a comparatively small collection of Agency files.

Question this

(d) The existence of Vital Records within the ADP Information Processing Systems is undeniable. Currently the ADP systems do not protect their Vital, irreplaceable data, documentation, or information within the Agency Vital Records Program or Emergency Planning Program. Computer Centers are storing some material outside the tape library but conveniently nearby, within the same building. This procedure is seriously opposed by me and contrary to the Agency Records Program. There are procedures and space to accommodate ADP Vital Records within the existing facilities and Program.

! - !

(e) The Agency Archives and Records Center facilities are readily available to the Information Processing Systems. The two couriers per day put these facilities within a few hours of each Computer Center. Their use for the preservation of temporary, inactive tapes and related documentation are essential to relieve the shortage of office space in the Computer Centers and the Systems Analyst areas. Likewise the Archives is available to preserve permanent documentation and information or policy files on the development of Information Processing Systems. Protection standards there are continually reviewed by Security and CI Staff. Also the environment controls and problems are similar to those existing in the Tape Libraries.

Question this

6. Each of the seven Sub-Programs of the Agency Records Program is designed to provide for the efficient and economical operation of all types of records systems regardless of the media employed. The data processing impact today is but a variation of past activities.

SECRET

SECRET

The Records Program has routinely experienced and coped with information processing that used paper records and various kinds of record copies whether carbon, Xerox or Thermofax. The flood of Microfilm brought some 90,000 reels to storage and even more in the offices. Similarly, the microfiche and aperture cards were routine additions. The arrival of punch cards developed many specialized forms, files systems, and equipment demands. Further, these tab cards filled office space and the Records Center with tens of millions of cards. This was no more disconcerting than the storage of 2,000 reels of tape in the Center and the special file equipment for 27,000 reels in the office areas. The unique storage requirements of NPIC films and models are systematically scheduled, stored, and retrieved in the Records Program. The special file systems, forms, equipment, and supplies for X-rays, EKG tapes, language and security tapes, and Optical Character Recognition Systems are regularly served by the Records Program and its network of Records Managers.

7. The arrival on the scene of 4,000 cubic feet of data processing magnetic tapes are no more disconcerting than the probable requirements to cope in the future with the metal data strips from the Laser devices to be used for data storage. The Records Staff and its storage facilities will continue to remain current in their ability to assist and serve new technological development in the field of information processing.

8. I believe the Records Program will cope with information processing records as soon as the related officials recognize that their product and documentation are official records of the Agency and their work is not personal papers or unique non-record materials. Everything in the field of Information Processing conveniently fits into the existing Records Program and its established systematic procedures. There is no justification to create a duplicate program for the storage and retrieval of Information Processing material. Neither is there justification to distort the Agency Records Program to focus primarily or exclusively on information processing material. I believe the objectives of the Information

UGH!

BEING
OFF
MORE
THAN
WE CAN
HANDLE

SECRET

SECRET

Processing Coordinators can be quickly and simply accommodated with an authoritative pronouncement by the IPC Board to the effect that all ADP material will be accommodated as records within the scope of

25X1A

[REDACTED] Then the Records Management officers in each component can meet with their Systems Analysts to Schedule systems tapes and programs for routine transfer to the Records Center, Vital Records Depository, Archives, or disposal facility.

OK BUT
WHAT WILL
RMO'S DO
ABOUT IT!
25X1A

[REDACTED]
CIA Records Administration Officer

Attachment:

Records Disposal Act
Federal Records Act
FPMR Index

25X1A

[REDACTED]
C/IPB to C/RMB 8 Mar. 71

SECRET

ments facilitating the use of the collections shall have precedence over detailed calendars and textual reproductions. This Commission shall meet at least once a year, and the members shall serve without compensation except repayment of expenses actually incurred in attending meetings of the Commission.

SEC. 6. That there is hereby further created a National Archives Council composed of the Secretaries of each of the executive departments of the Government (or an alternate from each department to be named by the Secretary thereof), the Chairman of the Senate Committee on the Library, the Chairman of the House Committee on the Library, the Librarian of Congress, the Secretary of the Smithsonian Institution, and the Archivist of the United States. The said Council shall define the classes of material which shall be transferred to the National Archives Building and establish regulations governing such transfer; and shall have power to advise the Archivist in respect to regulations governing the disposition and use of the archives and records transferred to his custody.

SEC. 6a. Whenever any records the use of which is subject to statutory limitations and restrictions are transferred to the custody of the Archivist of the United States, permissive and restrictive statutory provisions with respect to the examination and use of such records applicable to the head of the agency having custody of them or to employees of that agency shall thereafter likewise be applicable to the Archivist of the United States and to the employees of the National Archives Establishment respectively.

SEC. 7. The National Archives may also accept, store, and preserve motion-picture films and sound recordings pertaining to and illustrative of historical activities of the United States, and in connection therewith maintain a projecting room for showing such films and reproducing such sound recordings for historical purposes and study.

SEC. 8. That the National Archives shall have an official seal which will be judicially noticed.

The Archivist of the United States may make or reproduce and furnish authenticated or unauthenticated copies of any of the documentary, photographic or other archives or records in his custody that are not exempt from examination as confidential or protected by subsisting copyright, and may charge therefor a fee sufficient to cover the cost or expenses thereof. All such fees shall be paid into, administered, and expended as a part of the National Archives Trust Fund created by section 5 of the National Archives Trust Fund Board Act. There shall be no charge for the making or authentication of such copies or reproductions furnished to any department or other agency of the Government for official use. When any such copy or reproduction furnished under the terms hereof is authenticated by the official seal

of the National Archives and certified by the Archivist of the United States, or in his name attested by the head of any office or the chief of any division of the National Archives designated by the Archivist with such authority, it shall be admitted in evidence equally with the original from which it was made.

SEC. 8a. Any official of the United States Government who is authorized to make certifications or determinations on the basis of records in his custody is hereby authorized to make certifications or determinations on the basis of records that have been transferred by him or his predecessors to the custody of the Archivist of the United States.

SEC. 9. That the Archivist shall make to Congress, at the beginning of each regular session, a report for the preceding fiscal year as to the National Archives, the said report including a detailed statement of all accessions and of all receipts and expenditures on account of the said establishment. He shall also transmit to Congress the recommendations of the Commission on National Historical Publications, and, on January 1 of each year, with the approval of the Council, a list or description of the papers, documents, and so forth (among the archives and records of the Government), which appear to have no permanent value or historical interest, and which, with the concurrence of the Government agency concerned, and subject to the approval of Congress, shall be destroyed or otherwise effectively disposed of.

SEC. 10. That there are hereby authorized such appropriations as may be necessary for the maintenance of the National Archives Building and the administration of the collections, the expenses, and work of the Commission on National Historical Publications, the supply of necessary equipment and expenses incidental to the operations aforesaid, including transfer of records to the Archives Building; printing and binding; personal services in the District of Columbia and elsewhere; travel and subsistence and per diem in lieu of subsistence, notwithstanding the provisions of any other Acts; stenographic services by contract or otherwise as may be deemed necessary; purchases and exchange of books and maps; payment in advance when authorized by the Archivist for library memberships in societies whose publications are available to members only or to members at a price lower than to the general public; purchase, exchange, and operation of motor vehicles; and all absolutely necessary contingent expenses, all to be expended under the direction of the Archivist, who shall annually submit to Congress estimates therefor in the manner prescribed by law.

SEC. 11. All Acts or parts of Acts relating to the charge and superintendency, custody, preservation, and disposition of official papers and documents of executive departments and other governmental agencies inconsistent with the provisions of this Act are hereby repealed.

Records Disposal Act, Approved July 7, 1943, as Amended July 6, 1945³

[57 Stat. 380-383; 59 Stat. 434]

An Act to provide for the disposal of certain records of the United States Government.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled. That when used in this Act, the word "records" includes all books, papers, maps, photographs, or other documentary materials,

³ Sections 4, 6, 7, and 12 appear as amended July 6, 1945.

regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions,

procedures, operations, or other activities of the Government or because of the informational value of data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word "records" as used in this Act.

SEC. 2. The National Archives Council shall promulgate regulations, not inconsistent with this Act, establishing (1) procedures for the compiling and submitting to the Archivist of the United States of lists and schedules of records proposed for disposal, (2) procedures for the disposal of records authorized for disposal, and (3) standards for the reproduction of records by photographic or microphotographic processes with a view to the disposal of the original records. Such regulations, when approved by the President, shall be binding on all agencies of the United States Government.

SEC. 3. The head of each agency of the United States Government shall submit to the Archivist of the United States, in accordance with regulations promulgated as provided in section 2 of this Act (1) lists of any records in the custody of the agency that have been photographed or microphotographed in accordance with the said regulations and that, as a consequence thereof, do not appear to have sufficient value to warrant their further preservation by the Government; (2) lists of any other records in the custody of the agency that are not needed by it in the transaction of its current business and that do not appear to have sufficient administrative, legal, research, or other value to warrant their further preservation by the Government; and (3) schedules proposing the disposal after the lapse of specified periods of time of records of a specified form or character that either have accumulated in the custody of the agency or that may accumulate therein at any time after the submission of such schedules and that apparently will not after the lapse of the period specified have sufficient administrative, legal, research, or other value to warrant their further preservation by the Government.

SEC. 4. The Archivist shall submit to Congress, at such times as he shall deem expedient, the lists or schedules submitted to him in accordance with the provisions of section 3 of this Act, or parts of such lists or schedules, and lists or schedules of any records in his legal custody, insofar as it shall appear to him that the records listed in such lists or schedules do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research, or other value to warrant their continued preservation by the United States Government: *Provided*, That the Archivist shall not submit to Congress lists or schedules of records of any existing agency of the Government in his legal custody without first having obtained the written consent of the head of such agency.

The Archivist may also submit to Congress, together with recommendations of the National Archives Council with respect thereto, and at such times as he may deem expedient, schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character common to several or all agencies that either have accumulated or may accumulate in such agencies and that apparently will not, after the lapse of the periods specified, have sufficient administrative, legal, research, or other value to warrant

their further preservation by the United States Government.

SEC. 5. Whenever the Archivist shall submit lists or schedules to Congress, it shall be the duty of the presiding officer of the Senate to appoint two Senators who, with the members of the Committee on the Disposition of Executive Papers of the House of Representatives, shall constitute a joint committee to which all such lists or schedules shall be referred, and the joint committee shall examine such lists or schedules and submit to the Senate and House of Representatives, respectively, a report of such examination and its recommendations.

SEC. 6. If the joint committee reports that any of the records listed in a list or schedule referred to it do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research, or other value to warrant their continued preservation by the Government, the Archivist shall notify the agency or agencies having such records in their custody of the action of the joint committee and such agency or agencies shall cause such records to be disposed of in accordance with regulations promulgated as provided in section 2 of this Act: *Provided*, That authorizations granted pursuant to schedules submitted under the last paragraph of section 4 of this Act shall be permissive and not mandatory.

SEC. 7. If the joint committee fails to make a report during any regular or special session of Congress on any list or schedule submitted to Congress by the Archivist not less than ten days prior to the adjournment of such session, the Archivist may empower the agency or agencies having in their custody records covered by such lists or schedules to cause such records to be disposed of in accordance with regulations promulgated as provided in section 2 of this Act.

SEC. 8. Whenever it shall appear to the Archivist that any agency has in its custody, or is accumulating, records of the same form or character as any records of the same agency previously authorized by Congress to be disposed of, he may empower the head of such agency to dispose of such records, after they have been in existence a specified period of time, in accordance with regulations promulgated as provided in section 2 of this Act and without listing or scheduling them.

SEC. 9. Records pertaining to claims and demands by the Government of the United States or against it, or to any accounts in which the Government of the United States is concerned, either as debtor or creditor, shall not be disposed of by the head of any agency under any authorizations granted pursuant to the provisions of sections 6, 7, and 8 of this Act, until such claims, demands, and accounts have been settled and adjusted in the General Accounting Office, except upon the written approval of the Comptroller General of the United States.

SEC. 10. Whenever the Archivist and the head of the agency that has custody of them shall jointly determine that any records in the custody of any agency of the United States Government are a continuing menace to human health or life or to property, the Archivist shall cause such menace to be eliminated immediately by whatever method he may deem necessary. If any records in the custody of the Archivist are disposed of under this section, the Archivist shall report the disposal thereof to the agency from which they were transferred.

SEC. 11. At any time during the existence of a state of war between the United States and any other nation or when

hostile action by a foreign power appears imminent, the head of any agency of the United States Government may authorize the destruction of any records in his legal custody situated in any military or naval establishment, ship, or other depository outside the territorial limits of continental United States (1) the retention of which would be prejudicial to the interests of the United States or (2) which occupy space urgently needed for military purposes and are, in his opinion, without sufficient administrative, legal, research, or other value to warrant their continued preservation: *Provided*, That within six months after the disposal of any such records, the official who directed the disposal thereof shall submit a written report thereon to the Archivist in which he shall describe the character of such records and state when and where the disposal thereof was accomplished.

SEC. 12. The Archivist shall transmit to Congress at the beginning of each regular session reports as to the records authorized for disposal under the provisions of section 7 of this Act and as to the records disposed of under the provisions of sections 10 and 11 of this Act.

SEC. 13. Photographs or microphotographs of any records made in compliance with regulations promulgated as provided in section 2 of this Act shall have the same force

and effect as the originals thereof would have and shall be treated as originals for the purpose of their admissibility in evidence. Duly certified or authenticated reproductions of such photographs or microphotographs shall be admitted in evidence equally with the original photographs or microphotographs.

SEC. 14. All moneys derived by agencies of the Government from the sale of records authorized for disposal under the provisions of this Act shall be paid into the Treasury of the United States unless otherwise required by existing law applicable to the agency.

SEC. 15. The procedures herein prescribed are exclusive and no records of the United States Government shall be alienated or destroyed except in accordance with the provisions of this Act.

SEC. 16. The Act entitled "An Act to provide for the disposition of certain records of the United States Government", approved August 5, 1939 (53 Stat. 1219), the Act entitled "An Act to provide for the disposition of certain photographed records of the United States Government, and for other purposes", approved September 24, 1940 (54 Stat. 958), and all other Acts or parts of Acts inconsistent with the provisions of this Act are hereby repealed.

Resolution Concerning the Transfer of Records to the National Archives, Adopted by the National Archives Council November 9, 1944

Whereas section 3 of the "Act to establish a National Archives of the United States Government and for other purposes" (48 Stat. 1122) provides that "All archives or records belonging to the Government of the United States (legislative, executive, judicial, and other) shall be under the charge and superintendence of the Archivist to this extent: He shall have full power to inspect personally or by deputy the records of any agency of the United States Government whatsoever and wheresoever located, and shall have the full cooperation of any and all persons in charge of such records in such inspections, and to requisition for transfer to the National Archives Establishment such archives, or records as the National Archives Council, hereafter provided shall approve for such transfer";

And whereas section 6 of said act creates the National Archives Council and authorizes it to "define the classes of material which shall be transferred to the National Archives Building and establish regulations governing such transfer", therefore be it

Resolved, That the Archivist of the United States be and he is hereby authorized to requisition for transfer to the National Archives any archives or records in the custody of any agency of the United States Government (legislative, executive, judicial, and other), which fall within any of the following classes, viz:

I. Any archives or records that the head of the agency that has the custody of them may offer for transfer to the National Archives.

II. Any archives or records that have been in existence for more than fifty years unless the head of the agency that has

the custody of them certifies in writing to the Archivist that they must be retained in his custody for use in the conduct of the regular current business of the said agency.

III. Any archives or records of any Federal agency that has gone out of existence unless the head of the agency that has the custody of them certifies in writing to the Archivist that they must be retained in his custody for use in performing transferred functions of the discontinued agency or in liquidating its affairs.

IV. Any other archives or records that the National Archives Council by special resolution may authorize to be transferred to the National Archives.

Resolved further, (1) That when the Archivist shall issue his requisition for any archives or records he shall furnish to a duly authorized representative of the agency that has the custody of them an inventory of the material covered by such requisition; (2) That when, and not until, this inventory shall have been certified to by the signatures of the representatives of said agency and of the Archivist, respectively, and the said archives or records shall have been delivered by the representative of the said agency to the representative of the Archivist either at the depository in which they are stored or at a depository under the control of the Archivist, the said archives or records shall pass into the legal custody of the Archivist of the United States; *Provided*, That records of the Federal Government that are not in the legal custody of any other agency of the Government shall be deemed to be in the legal custody of the Archivist and may be transferred by him to a depository under his control without the formalities of issuing a requisition or delivering an inventory.

Regulations of the National Archives Council, Adopted July 29, 1949

Whereas Sec. 2 of "An Act to provide for the disposal of certain records of the United States Government" approved July 7, 1943, as amended by the Act approved July 6, 1945

(57 Stat. 380-383, 59 Stat. 434; 44 U. S. C. 366-380), requires that the National Archives Council promulgate regulations not inconsistent with the provisions of the said

PART 101-7 [RESERVED]

PART 101-8—NATIONAL HISTORICAL PUBLICATIONS COMMISSION [RESERVED]

PART 101-9 [RESERVED]

PART 101-10 [RESERVED]

PART 101-11—RECORDS MANAGEMENT

Sec.

101-11.000 Scope of part.

Subpart 101-11.1—Federal Records; General

101-11.101 General provisions.
101-11.101-1 Authority.
101-11.101-2 Applicability.
101-11.101-3 Records defined.
101-11.101-4 Reports to the President and the Congress.
101-11.102 Agency records management programs.
101-11.102-1 Authority.
101-11.102-2 Program content.
101-11.102-3 Creation of records.
101-11.102-4 Organization, maintenance, and use of records.
101-11.102-5 Disposition of records.
101-11.102-6 Liaison offices.
101-11.102-7 Annual summary of records holdings.
101-11.103 Agency program evaluation.
101-11.103-1 Authority.
101-11.103-2 Evaluation by National Archives and Records Service.
101-11.103-3 Agency internal evaluation.

Subpart 101-11.2—Creation of Records

101-11.200 Scope of subpart.
101-11.201 General provisions.
101-11.201-1 Agency action.
101-11.202 Adequate and proper documentation.
101-11.202-1 Statutory responsibilities.
101-11.202-2 Documentation standards.
101-11.203 Creating records essential for current business.
101-11.203-1 Statutory responsibilities.
101-11.203-2 General requirements.
101-11.204 [Reserved]
101-11.205 [Reserved]
101-11.206 Correspondence—agency program responsibilities.
101-11.206-1 Correspondence management function.

Sec.

101-11.206-2 Correspondence defined.
101-11.206-3 Program requirements.
101-11.206-4 Program implementation.
101-11.207 Reports—agency program responsibilities.
101-11.207-1 Reports management function.
101-11.207-2 Reports defined.
101-11.207-3 Program requirements.
101-11.207-4 Program implementation.
101-11.208 Forms—agency program responsibilities.
101-11.208-1 Forms management function.
101-11.208-2 Forms defined.
101-11.208-3 Program requirements.
101-11.208-4 Program implementation.
101-11.209 Directives—agency program responsibilities.
101-11.209-1 Directives management function.
101-11.209-2 Directives defined.
101-11.209-3 Program requirements.
101-11.209-4 Program implementation.
101-11.210 Automatic data processing records; agency program responsibilities.
101-11.210-1 ADF records management function.
101-11.210-2 ADF records management defined.
101-11.210-3 Program requirements.
101-11.210-4 Program implementation.
Subpart 101-11.3—Organization, Maintenance, and Use of Current Records
101-11.301 General provisions.
101-11.301-1 Authority.
101-11.301-2 Agency action.
101-11.302 [Reserved]
101-11.303 [Reserved]
101-11.304 Mail—agency program responsibilities.
101-11.304-1 Mail management function.
101-11.304-2 Mail defined.
101-11.304-3 Program requirements.
101-11.304-4 Program implementation.
101-11.305 Files—agency program responsibilities.
101-11.305-1 Files management function.
101-11.305-2 Files defined.
101-11.305-3 Program requirements.
101-11.305-4 Program implementation.
101-11.306 Records equipment and supplies—agency program responsibilities.
101-11.306-1 Managing records equipment and supplies.
101-11.306-2 Records equipment and supplies defined.
101-11.306-3 Program requirements.
101-11.306-4 Program implementation.

Sec.		Sec.	
Subpart 101-11.4—Disposition of Federal Records			
101-11.401	Records control schedules.	101-11.409-3	Agency request.
101-11.401-1	Records scheduling programs.	101-11.409-4	Agency concurrences.
101-11.401-2	Basic elements in records scheduling programs.	101-11.409-5	Records of terminated agencies.
101-11.401-3	Formulation of records control schedules.	101-11.409-6	Equipment.
101-11.401-4	Provisions of records control schedules.	101-11.409-7	Costs of transfers.
101-11.401-5	Application of records control schedules.	101-11.409-8	Restrictions on use of records.
101-11.402	[Reserved]	101-11.409-9	Exceptions.
101-11.403	Standards for the selective retention of records.	101-11.410	Transfer of records to Federal Records Centers.
101-11.403-1	Authority.	101-11.410-1	Authority.
101-11.403-2	Records retention and disposal standards.	101-11.410-2	Procedures for transfers to regional Federal Records Centers.
101-11.403-3	Permanently valuable records retention program.	101-11.410-3	Procedures for transfer to the Federal Records Center, St. Louis.
101-11.403-4	Application of records retention plans.	101-11.410-4	Vital operating records.
101-11.404	General retention and disposal schedules.	101-11.410-5	Surveys of records available for transfer.
101-11.404-1	Authority.	101-11.410-6	Release of equipment.
101-11.404-2	Approved general records schedules.	101-11.410-7	Serving transferred records.
101-11.405	[Reserved]	101-11.410-8	Disposal clearances.
101-11.406	Agency disposal authority.	101-11.411	Transfer of records to the National Archives.
101-11.406-1	Authority.	101-11.411-1	Authority.
101-11.406-2	Submission of disposal requests.	101-11.411-2	Transfers via Records Centers.
101-11.406-3	Certification.	101-11.411-3	Direct transfers.
101-11.406-4	General Accounting Office clearance.	101-11.411-4	Release of equipment.
101-11.406-5	Approval of requests for disposal authority.	101-11.411-5	Use of records transferred to the National Archives.
101-11.406-6	Mutilation and destruction of records.	101-11.411-6	Disposal clearances.
101-11.406-7	Extension of retention periods.	101-11.411-7	Transfer of audiovisual records.
101-11.406-8	Withdrawal of disposal authority.	101-11.411-8	Transfer of cartographic records.
101-11.406-9	Supersession of disposal authority.	101-11.412	Agency records centers; establishment.
101-11.407	Emergency authorization for the disposal of records.	101-11.412-1	Authority.
101-11.407-1	General provisions.	101-11.412-2	Existing records centers.
101-11.407-2	Menaces to human health or life or to property.	101-11.412-3	Requests for authority to establish or relocate records centers.
101-11.407-3	State of war or threatened war.	101-11.412-4	Annual agency records center report.
101-11.408	Methods of disposal.		
101-11.408-1	Authority.	Subpart 101-11.5—Microfilming	
101-11.408-2	Sale or salvage.	101-11.500	Scope of subpart.
101-11.408-3	Donation for preservation and use.	101-11.501	Services available.
101-11.408-4	Destruction.	101-11.501-1	Central source of information on microfilming.
101-11.409	Transfer of records from the custody of one executive agency to another.	101-11.501-2	Technical advice and assistance on microfilm programs.
101-11.409-1	Authority.	101-11.501-3	Central reimbursable microfilming service.
101-11.409-2	Approval.	101-11.502	Requests for service.
		Subpart 101-11.6—Records Equipment and Supplies	
		101-11.601	[Reserved]

Sec.		Sec.	
101-11.602	[Reserved]	101-11.808-1	Initiating new Standard forms.
101-11.603	Stationery standards.	101-11.808-2	Initiating new Optional forms.
101-11.603-1	General provisions.	101-11.809	Selected Standard forms for which GSA is designated as promulgating agency.
101-11.803-2	Standard specifications.	101-11.809-1	Standard forms for requisitioning printing and binding.
101-11.603-3	Letterhead stationery.	101-11.809-2	Standard forms for reporting accidents and for processing claims under the Federal Tort Claims Act.
101-11.603-4	Memorandum stationery.	101-11.809-3	Standard forms for medical examination and clinical and health records.
101-11.603-5	Continuation sheets.	101-11.810	Designation of agency liaison representative.
101-11.603-8	Manifold (tissue) sheets.		
101-11.603-7	[Reserved]	Subpart 101-11.9—Source Data Automation in Paperwork Systems	
101-11.803-8	Envelopes (printing).	101-11.900	Scope.
101-11.603-9	Envelopes; borders, markings, etc.	101-11.901	Definition of source data automation.
101-11.803-10	Procurement forms.	101-11.902	Need for source data automation.
101-11.603-11	Optional Form 10, United States Government Memorandum, May 1962.	101-11.903	Criteria for the use of source data automation.
101-11.603-12	Standard Form 63, Memorandum of Call, Nov. 1961.	101-11.904	Application of source data automation.
101-11.603-13	Standard Form 85, U.S. Government Messenger Envelope, Nov. 1961.		
101-11.603-14	Optional Form 27, United States Government 2-way Memo.	Subpart 101-11.10—Technical Assistance	
		101-11.1000	Scope.
Subpart 101-11.7—Vital Records: Records During an Emergency		101-11.1001	Services available.
101-11.701	Emergency preparedness program; vital records protection status report.	101-11.1002	Technical advice and assistance on records management programs.
101-11.701-1	Purpose.	101-11.1003	Technical assistance involving studies and surveys.
101-11.701-2	Authority.	101-11.1004	General paperwork systems studies.
101-11.701-3	Background.	101-11.1005	Requests for service.
101-11.701-4	Forms.		
101-11.701-5	Definitions.	Subparts 101-11.11—101-11.48 [Reserved]	
101-11.701-6	Preparing offices and coverage.		
101-11.701-7	Security.	Subpart 101-11.49—Forms and Reports	
101-11.701-8	Reporting periods and due dates.	101-11.4900	Scope of subpart.
101-11.701-9	Copies and distribution.	101-11.4901	Standard Form 136: Annual Summary of Records Holdings.
101-11.701-10	Availability of forms.	101-11.4902	Standard Form 115: Request for Authority to Dispose of Records.
		101-11.4903	Standard Form 115 A: Request for Authority to Dispose of Records—Continuation Sheet.
Subpart 101-11.8—Standard and Optional Forms		101-11.4904	Instructions for preparing Standard Forms 115 and 115-A.
101-11.800	Scope.	101-11.4905	Standard Form 137: Agency Records Center Annual Report.
101-11.801	Exclusions.	101-11.4906	Standard Form 127: Request for Official Personnel Folder (Separated Employee).
101-11.802	Background.		
101-11.803	Definitions.		
101-11.803-1	Forms.		
101-11.803-2	Standard forms.		
101-11.803-3	Optional forms.		
101-11.803-4	Promulgating agency.		
101-11.803-5	Sponsoring agency.		
101-11.804	Procedures to promulgate, modify, or discontinue Standard forms.		
101-11.804-1	Clearance and promulgation.		
101-11.804-2	Modifications and exceptions.		
101-11.804-3	Proposed discontinuance.		
101-11.805	Procedures to establish, revise, or discontinue Optional forms.		
101-11.806	Standard and Optional forms used as public reports.		
101-11.807	Procurement.		
101-11.808	Initiating Standard and Optional forms projects.		

Sec.
 101-11.4907 Standard Form 135: Records Transmittal and Receipt.
 101-11.4908 Standard Form 135A: Records Transmittal and Receipt—(Continuation).
 101-11.4909 GSA Form 439: Report of Disposition of Records.
 101-11.4910 Optional Form 11: Reference Request—Federal Records Centers.
 101-11.4911 United States Government Memorandum
 101-11.4912 Optional Form 10: United States Government Memorandum.
 101-11.4913 Standard Form 63: Memorandum of Call.
 101-11.4914 Standard Form 65: U.S. Government Messenger Envelope.
 101-11.4915 Optional Form 27: United States Government 2-Way Memo.
 101-11.4916 "Guides to Simplified Informal Correspondence".
 101-11.4917 GSA Form 2034: Vital Records Protection Status Report (Part I—Emergency Operating Records).
 101-11.4918 GSA Form 2035: Vital Records Protection Status Report (Part II—Rights and Interests Records).
 101-11.4919 [Reserved]
 101-11.4920 Standard Form 152: Request for Clearance and Procurement—Standard and Optional Forms.

Sec.
 101-11.4921 Standard Form 180: Request Pertaining to Military Records.

PART 101-12—[RESERVED]

PART 101-13—PRESERVATION OF RECORDS BY WAR CONTRACTORS

101-13.1 Scope of regulation.
 101-13.2 Responsibility of the war contractor.
 101-13.3 Records not to be destroyed for stated period.
 101-13.4 Partial settlements, exclusions or exceptions.
 101-13.4a Exemptions.
 101-13.5 Duplicate copies.
 101-13.6 Authorization to destroy if photographs are retained.
 101-13.7 Features which photography would not clearly reflect.
 101-13.8 Arrangement, classification and self-identification of records.
 101-13.9 Minimum standards for film and processing.
 101-13.10 Certificate of authenticity.
 101-13.11 Additional special requirements for microfilm.
 101-13.12 Indexing and retention of photographs.

SECTION I: RECORDS

1. RECORDS ADMINISTRATION. This paragraph provides for a continuing Agency Records Administration Program to control and improve records from their creation or receipt to their disposition, and prescribes policies and responsibilities for effectively carrying out the program.

a. RECORD MATERIAL DEFINED. For the purpose of this paragraph, record material is defined as: all books, papers, maps, photographs, films, recordings, or other documents and material regardless of physical form or characteristics, created or received by any part of the Central Intelligence Agency pursuant to Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by CIA or its legitimate predecessor or successor organizations as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transactions, operations, or other activities or because of the informational value of data contained therein. "Records" and "record material" may be used interchangeably.

b. RECORDS ADMINISTRATION PROGRAM. The Records Administration Program consists of the elements listed and described below:

- ✓(1) Reports Administration — The analysis, improvement, and control of administrative reporting.
- ✓(2) Correspondence Administration — The application of improved standards and procedures for preparing and handling correspondence.
- ✓(3) Forms Administration — The analysis, design, and control of forms.
- ✓(4) Records Maintenance — The establishment of standard procedures, systems, equipment, and supplies for records maintenance.
- ✓(5) Records Disposition — The economical and systematic disposition of Agency records including their preservation, retention, transfer, protection, and disposal according to approved schedules.
- ✓(6) Vital Records Administration — The timely selection of vital records and their prompt transfer to and secure maintenance in a designated Agency repository. Vital records are records which are essential to the continued operation of the Agency in an emergency, and which, if destroyed, would constitute a serious or irreplaceable loss.

c. POLICIES. The Agency Records Administration Program shall be administered on a decentralized basis through programs governed by the following policies:

- (1) Records shall be made and preserved to provide adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency. Such records shall be designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Agency's activities.
- (2) Measures shall be taken to ensure that essential records are created and maintained by the most efficient and economical methods.
- (3) Measures shall be taken to ensure that nonessential records, reports, and forms are not created.
- (4) Vital records shall be identified in schedules and currently deposited in a designated Agency repository.

Revised: 25 September 1963

CONFIDENTIAL

GROUP 1
Excluded from automatic
downgrading and
declassification

1

RECORDS AND CORRESPONDENCE

- ✓ (5) The Agency Records Center shall be a facility for storing, processing, and servicing retired Agency records, and will serve as an Agency archival facility. The Records Center shall be compartmented and controlled in such a manner that the defense classification or sensitivity requirements of the office transmitting the records are honored.
- ✓ (6) Records control schedules shall be developed to identify and preserve records of permanent value, and to provide the basis for periodic removal of noncurrent records from office space and filing equipment to more economical storage, and destruction of records of temporary value. These schedules shall be maintained in a current status.

d. RESPONSIBILITIES

- (1) **THE CIA RECORDS ADMINISTRATION OFFICER.** The CIA Records Administration Officer shall:

- (a) Furnish staff guidance, assistance, and coordination of the Agency Records Administration Program.
- (b) Provide forms analysis, design, and reference services; approve new or revised forms; and ensure that appropriate coordination of new and revised forms is effected.
- (c) Review and approve records control schedules, vital records schedules, and requests for equipment and supplies to the extent necessary to assure compliance with Records Administration Program requirements.
- (d) Direct the activities of the Records Center.
- (e) Maintain Agency liaison with the National Archives and Records Service, General Services Administration, and other Federal and private organizations on records administration matters.
- (f) Review the Records Administration Programs established in the various Operating Offices.
- (g) Promote the Records Administration Program through training and publicity.
- (h) Develop and maintain a system of managing administrative reports.
- (i) Conduct research on records techniques and procedures to improve and promote efficient paperwork management practices.

- (2) **THE EXECUTIVE DIRECTOR-COMPTROLLER, DEPUTY DIRECTORS, AND HEADS OF INDEPENDENT OFFICES.*** The Executive Director-Comptroller, Deputy Directors, and Heads of Independent Offices shall:

- (a) Establish, direct, and maintain for their respective jurisdictions Records Administration Programs consisting of the elements outlined in subparagraph b above.
- (b) Maintain liaison with other offices of the Agency, as required, in the performance of their records administration responsibilities.
- (c) Designate an individual who will be responsible for the development and administration of the Records Administration Programs under their respective jurisdictions.

2-4. Reserved.

*The Inspector General and the General Counsel.

ILLEGIB